

Ifw

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Kung-Li Deng et al.

Serial No.: 10/659,464

Filed: September 9, 2003

For WAVEGUIDE FORMING METHODS AND  
WAVEGUIDES FABRICATED THEREFROM



Group Art Unit: 2883

Examiner: R. A. Lepisto

**SUPPLEMENTAL INFORMATION  
DISCLOSURE STATEMENT**

- ☐ 1 **Pursuant to 37 CFR 1.97(b)**  
[within 3 months of national, non-CPA filing or prior to 1st Office Action] *no charge*
- ☒ 2 **Certification Pursuant to 37 CFR 1.97(c)(1)**  
[before Final Office Action, Allowance, or other action closing prosecution] *no charge*
- ☐ 3 **Fee Payment Pursuant to 37 CFR 1.97(c)(2)**  
[before Final Office Action, Allowance, or other action closing prosecution] *\$180.00*
- ☐ 4 **Certification & Fee Payment Pursuant to 37 CFR 1.97(d)**  
[On or before issue fee payment] *\$180.00*

ATTN: MAILSTOP AMENDMENT  
COMMISSIONER FOR PATENTS  
PO BOX 1450, ALEXANDRIA, VA 22313-1450

Sir:

The following are submitted in the above identified application in compliance with 37 CFR 1.97 & 37 CFR 1.98:

- ☒ 5 A list of documents on form PTO-1449 or Substitute together with copies of each identified document and a translation thereof or a concise explanation of each non-English language document or a Search Report from an International Searching Authority for a patent application filed via the Patent Cooperation Treaty or document(s) cited in the application or the priority application.

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Mail Stop Amendment, Commissioner for Patents, PO Box 1450, Alexandria, VA 22313-1450, on the date indicated below.

9/9/05

Date of Deposit

Monica Gentile

Type or Print Name

Monica Gentile

Signature

This paper is submitted in accordance with:

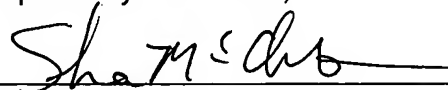
- ☐ 6 37 CFR 1.97(b): [within 3 months of national, non-CPA filing or prior to 1st Office Action]
- ☒ 7 37 CFR 1.97(c): [before Final Office Action, Allowance, or other action closing prosecution, whichever is earlier]; and
- ☒ 8 The required Certification made in item 11 below; or
- ☐ 9 The \$180.00 fee specified in 37 CFR 1.17(p) for submission of this Information Disclosure Statement is authorized in item 15 below.
- ☐ 10 37 CFR §1.97(d): [On or before issue fee payment]; and
- a) The required Certification is stated in item 11 below; and
- b) The \$180.00 fee specified in 37 CFR 1.17(p) for submission of this Information Disclosure Statement is authorized in item 14 below.
- ☒ 11 Certification
- ☒ 12 Each item of information contained in this Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement; or
- ☐ 13 No item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing this document after making reasonable inquiry, no item of information contained in this Statement was known to any individual designated in 37 CFR 1.56(c) more than three (3) months prior to the filing of this Statement.
- ☒ 14 Payment of all applicable fees:
- ☒ 15 Please charge all applicable fees associated with the submittal of this Information Disclosure Statement and any other fees applicable to this application to Deposit Account No. 07-0868. An original and two (2) copies of this document are enclosed.

September 9, 2005

Date

General Electric Company  
GEGR Patent Docket Rm. Bldg. K-1 Rm. 4A59  
One Research Circle  
Niskayuna, New York 12309  
Customer Number: 006147

Respectfully submitted,



Attorney - Shawn A. McClintic

Registration No. 45,856

Phone: (518) 387-5448

or (518) 387-7122

FORM PTO-1449  
(REV. 7-80)US. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.  
134239-1SERIAL NO.  
10/659,464Applicant  
Kung-Li Deng et al.Filing Date  
9/9/03Group  
2883

**SUPPLEMENTAL**  
**INFORMATION DISCLOSURE STATEMENT BY APPLICANT**  
**LIST OF ITEMS**

**U.S. PATENT DOCUMENTS & U.S. PATENT APPLICATION PUBLICATIONS**

*EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	A1	3,809,732	5/7/74	Chandross et al.		
	A2	4,191,446	3/4/80	Arditty et al.		
	A3	6,191,224	2/20/01	Chan et al.		
	A4					
	A5					
	A6					
	A7					
	A8					
	A9					

**FOREIGN PATENT DOCUMENTS**

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO
	B1	DE 35 43 558	6/11/87	Germany		X
	B2	EP 0 689 067	12/27/95	European		X
	B3					
	B4					
	B5					
	B6					

**OTHER INFORMATION (Including Author, Title, Date, Pertinent Pages, etc.)**

C1	International Search Report dated August 3, 2005.
C2	XP-001210847, Naohiro Hirose et al., "Optical Solder Effects of Self-Written Waveguides in Optical Circuit Devices Coupling", Electronic Components and Technology Conference, pp. 268-275, 2002.
C3	
C4	
C5	

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant